



TRANSPORTATION CABINET

Steven L. Beshear
Governor

Frankfort, Kentucky 40622
www.transportation.ky.gov/
January 9, 2012

Michael W. Hancock, P.E.
Secretary

Dear Grantee:

SUBJECT: FY 2013 Section 5307, 5309, 5310, 5311, 5316, 5317 Assistance
Application Checklists and Required Certifications/Assurances

Enclosed are application checklists to guide you in the development of the subject application(s) for SFY 2013 assistance. **We ask that you read this letter and guidelines thoroughly.** These checklists can also be found on the KYTC/Office of Transportation Delivery (OTD) website at <http://transportation.ky.gov/Transportation-Delivery/Pages/Grant-Descriptions.aspx>. Attached is a list of Certifications/Assurances/Model Clauses/Required Forms that can also be found on our website. These checklists and assurances are the **only** versions of the forms that will be accepted with the application(s). Please review the checklists and forms carefully as many have changed for SFY 2013 (revised date 1-3-12).

You must Follow the format of the application checklists and organize material and documentation according to the checklists in order to receive approval. Every item on the checklist should list the corresponding page #, for which that item can be located in the application. Failure to properly format/organize your applications will delay project approvals and could jeopardize receipt of requested funds. Please be advised that each Checklist should be signed and every line and every section of each Application Checklist should be addressed. If not applicable, please state in writing why it does not apply. Not addressing each requirement on a Checklist or not signing the Checklist will delay grant approval and could risk full funding. Please update all areas of your application and include detailed back-up documentation and give a precise description of all the services you will provide with the specific federal funds requested. If a particular item or document requested has already been included in another application, please just reference where it can be located in the other application, as there is no need to send multiple copies of the same document.

Please make all applicants aware that coordination of transportation services with other agencies is an important part of public and specialized transportation. The Human Service Transportation Delivery Program (HSTD), along with rising numbers of eligible programs and agencies, and limited funding has increased the pressure for funds. Public and specialized transportation funding and coordination of transportation services is essential to serve all groups. Failure to include documentation efforts to coordinate service will jeopardize future participation in public and specialized transportation programs.

Federal transit law, as amended by the current authorization, requires that projects selected for funding under the Elderly Individuals and Individuals with Disabilities (Section 5310), Job Access and Reverse Commute (Section 5316 JARC), and New Freedom (Section 5317) programs be "derived from a locally developed, Coordinated Public Transit-Human Services Transportation Plan" and that the plan be "developed through a process that includes representatives of public, private, and non-profit transportation and human services providers and participation by members of the public". We encourage you to be knowledgeable of and active in the Coordinated Plan/update process. Please submit the attached Coordinated Plan Checklist with the updated Coordinated Plan. All 15 elements of the checklist must be addressed in the Plan, with particular emphasis on Element No. 1, the Four (4) Main Points of the Plan.



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Please clearly identify each element on the checklist in the Plan. You must number each page of the coordinated plan and follow the format of the coordinated plan checklist and organize the material/documentation accordingly. Please be advised that the Coordinated Plan is not complete unless it is updated and signed by all pertinent stakeholders or Authorized Representative. **New for FY 2013 As part of the Commonwealth's Veterans Transportation and Community Living Initiative Grant, all transportation needs of the Veterans/Military Service Organizations and VA Medical Centers in the coordinated plan area, must be addressed as part of the coordinated process and should be incorporated into the Coordinated Plan.**

If you are the Section 5310 Lead Agency for your area, you must notify all eligible organizations in each county of your area about the new Section 5310 application cycle. Each applicant must complete a Preliminary Assessment form (enclosed) for each vehicle requested. Under 5310, only replacement vehicles are considered for approval. Applicants must be in an area with a locally developed, Public Transit-Human Services Transportation Coordinated Plan.

The goal of the JARC 5316 Program is to improve access to transportation services to employment and employment related activities for welfare recipients and eligible low-income individuals and to transport residents of urbanized areas and nonurbanized areas to suburban employment opportunities. Applicants must be in an area with a locally developed, public transit-human services transportation Coordinated Plan. States and urban areas must competitively select recipients. Capital (80/10/10), Operating (50/50) and Planning (80/20) activities are eligible.

The New Freedom 5317 formula grant program seeks to reduce barriers to transportation services and expand the transportation mobility options available to people with disabilities beyond the requirements of the ADA of 1990. Applicants must be in an area with a locally developed, public transit-human services transportation Coordinated Plan. States and urban areas must competitively select recipients. Capital (80/10/10) and Operating (50/50) activities are eligible.

RTAP Training/technical assistance needs and budget(s) for FY 2013 should be included with the 5310/5311 application. An RTAP application package is included. Please be advised that the RTAP contract period will be July 1, 2011 through December 31, 2012. (100% Federal)

Vehicle or equipment specifications for capital grants should be included with the applications. All capital applications should include Milestones Reports (attached).

An opportunity for a public hearing must be provided regarding your Section 5309, 5310, 5316 and 5317 applications. A public hearing is only required for Section 5311 if capital equipment is to be requested, for a new service(s) or for a proposed change(s) in current service (service area, routes, fares, etc.). The Section 5307/5310/5311/5311(f)/5309/5316/5317 hearings may be combined and advertised as such by denoting the programs and the times allotted for the respective programs. The hearing must be advertised 14 days before the hearing date and letters sent out to county and local officials. The hearing must be accessible for persons with disabilities. The public hearing/notices should also accommodate the needs of Limited English Proficient (LEP) individuals. If the hearing is poorly attended, a transcript is still required. ***In addition, a written analysis must be included in the application(s) regarding possible reasons for poor attendance at the hearing and proposed solutions for better attendance at future hearings.***

The required Coordination Meeting for Section 5311 must be held thirty (30) days before the scheduled public hearing. All Section 5311 applications must include evidence of local support from each county/city served.

Budgetary information may be obtained from your Project Manager (Paula, Kristi, Dee, Ann, John, Susan or Gail). Please contact your Project Manager if your agency has or may receive tentative approval for a FFY 2012 Section 5309 Discretionary Grant. **Please remember that if awarded federal funds, all non-federal entities that expend in excess of \$500,000 in Federal awards shall have a single OMB A-133 audit.**

There should be a separate line-item budget and detailed description, including maps, of Section 5311(f) intercity services, if applicable. Please list all DBEs or potential DBEs in your service area and identify all eligible DBE line items in your line item budgets. The DBE goal is 5% of the Federal share.

Please make sure that the Drug and Alcohol Policy is up to date with the current DOT policies and has Board approval.

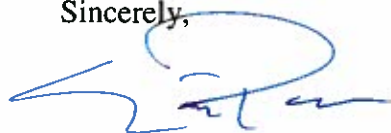
Under the Open Projects Status section of the 5307/5310/5311/5316/5317 applications, please report the following as of April 1, 2011: Current open capital and operating projects, remaining funding balances (State and Federal), operating services being provided or new services to be provided and date they will begin, equipment purchased, equipment to be purchased, proposed date of receipt/completion of all purchases and proposed completion date of when all funds will be spent for each separate line item budget.

Documents **must** be in hard copy. Scanned signatures and certified receipts, etc. are allowed. An electronic version of the application can be submitted with the hard copy. The Coordinated Plan should be a separate document and must be submitted in hard copy as well. An electronic version of the Coordinated Plan can be submitted with the hard copy. **Please make sure that the Coordinated Plan addresses sections 5310, 5316 and 5317 grants and includes the rankings and selection process.** Applications must be received in this office no later than April 2, 2012 and should be submitted to:

ATTN: Vickie S. Bourne, Executive Director
Kentucky Transportation Cabinet
Office of Transportation Delivery
200 Mero St.
Frankfort, KY 40622

If you have any questions or have trouble accessing the website, please contact your Project Manager at (502) 564-7433.

Sincerely,



Eric M. Perez
Public Transit Branch Manager
Office of Transportation Delivery

EP/gm/pc
Attachments

CERTIFICATIONS/ASSURANCES/CLAUSES/FORMS
FOR
FY 2013 FTA APPLICATIONS
5307/5309/5310/5311/5316/5317

CERTIFICATION/FORMS

APPLICABLE GRANT

Certification of Equivalent Service (Inaccessible Vehicle Purchase)	ALL
Annual Equipment Certification	5307/5311/5316/5317
Local Civil Rights Assurance	ALL
One-Time 504 Certification	ALL
Disabled Assurance	ALL
Charter Certification	ALL
School Bus Operations Certification	ALL
Opinion of Counsel Letter	5307/5311/5316/5317
Labor Letter	5307/5309/5311
Authorizing Resolution	ALL
Local Share Resolution	5307/5311
Standard Local Assurances	5307/5311/5316/5317
Listed Regulatory Assurances	5307/5311/5316/5317
DBE/WBE Policy Statement	5307/5311/5309/5316/5317
Lobbying Certification	ALL
Incidental Services Certification	ALL
Federally Required Model Clauses	ALL
Legal Name Form	5307/5310/5311/5316/5317
Procurement Information Certification	ALL
5310 Standard Assurances	5310
Milestones Schedule	ALL
Project Financing and Commitment of Local Share	5309/5310/5316/5317
Use of Project Facilities/Equipment	5309/5310/5316/5317
Evaluation of Flood Plain	5307/5309/5311/5316/5317
Preliminary Assessment Form	5310
Intercity Bus Assurance	5311
Coordinated Plan Checklist	5310/5316/5317